

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No. : 10/583,596 Confirmation No. 7113  
Applicant : EVOY, David et al  
Filed : June 19, 2006  
TC/A.U. : To be Assigned  
Examiner : To be Assigned  
  
Docket No. : **US03 0517 US2**  
Customer No. : 65913

Title: **SERIAL COMMUNICATION DEVICE CONFIGURABLE TO  
OPERATE IN ROOT MODE OR ENDPOINT MODE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Response to the Notice of Insufficient Basic National Required and/or Missing  
Copy of International Application Under 35 U.S.C. 371 and 37 CFR 1.495**

Sir:

In response to the Notice of Insufficient Basic National Required and/or Missing Copy of International Application Under 35 U.S.C. 371 and 37 CFR 1.495 (hereinafter, "371 Formalities Notice") please consider the following.

Please accept a copy of the attached International Publication WO 2005/060688 A2 (from International Application Number: PCT/US2004/042718 filed on 17 December 2004). Owing to the inadvertent non-payment of fees to the US Receiving Office (RO/US), there is no International Search Report. Please refer to accompanying Petition to the PCT Legal Office.

Please charge any fees necessary to put this application in a condition for examination.

Please charge any fees other than the issue fee and credit any overpayments to  
Deposit Account **50-4019**.

Respectfully submitted,

Date: *18-NOV-2010*

By: */Peter Zawilska/*

Peter Zawilska, Reg. No. 43,305  
(408) 474-9063

Correspondence Address:

Intellectual Property & Licensing  
**NXP, B.V.**  
1109 McKay Drive; M/S-41SJ  
San Jose, CA 95131 USA

CUSTOMER NO. 65913

## PCT REQUEST

Original (for SUBMISSION )

|            |  |  |
|------------|--|--|
| <b>0</b>   | <b>For receiving Office use only</b>   |  |
| 0-1        | International Application No.  |  |
| 0-2        | International Filing Date  |  |
| 0-3        | Name of receiving Office and "PCT International Application"   |  |
| <b>0-4</b> | <b>Form PCT/RO/101 PCT Request</b>   |  |
| 0-4-1      | Prepared Using   | <b>PCT-SAFE [EASY mode]<br/>Version 3.50 (Build 0002.163)</b>                                      |
| 0-5        | <b>Petition</b><br><br>The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty |  |
| 0-6        | <b>Receiving Office (specified by the applicant)</b>   | <b>United States Patent and Trademark Office (USPTO) (RO/US)</b>                                   |
| 0-7        | <b>Applicant's or agent's file reference</b>   | <b>PHUS030517WO</b>  |
| I          | <b>Title of Invention</b>  | <b>SERIAL COMMUNICATION DEVICE CONFIGURABLE TO OPERATE IN ROOT MODE OR ENDPOINT MODE</b>           |
| II         | <b>Applicant</b>   |  |
| II-1       | This person is   | <b>applicant only</b>  |
| II-2       | Applicant for  | <b>all designated States except US</b>   |
| II-4       | Name   | <b>KONINKLIJKE PHILIPS ELECTRONICS, N.V.</b>   |
| II-5       | Address  | <b>Groenewoudseweg 1<br/>5621 BA Eindhoven<br/>Netherlands</b>                                     |
| II-6       | State of nationality   | <b>NL</b>  |
| II-7       | State of residence   | <b>NL</b>  |
| II-8       | Telephone No.  | <b>+31 40 2743444</b>  |
| II-9       | Facsimile No.  | <b>+31 40 2743489</b>  |
| III-1      | <b>Applicant and/or inventor</b>   |  |
| III-1-1    | This person is   | <b>applicant and inventor</b>  |
| III-1-2    | Applicant for  | <b>US only</b>   |
| III-1-4    | Name (LAST, First)   | <b>EVOY, David</b>   |
| III-1-5    | Address  | <b>1109 McKay Drive, M/S-41SJ<br/>San Jose, California 95131-1706<br/>United States of America</b> |
| III-1-6    | State of nationality   | <b>US</b>  |
| III-1-7    | State of residence   | <b>US</b>  |

EV577688134US

## PCT REQUEST

Original (for SUBMISSION )

|         |  |   |
|---------|--|---|
| III-2   | <b>Applicant and/or inventor</b>   |   |
| III-2-1 | This person is   | applicant and inventor  |
| III-2-2 | Applicant for  | US only   |
| III-2-4 | Name (LAST, First)   | WOOD, Sam C.  |
| III-2-5 | Address  | 1109 McKay Drive, M/S-41SJ<br>San Jose, California 95131-1706<br>United States of America                       |
| III-2-6 | State of nationality   | US  |
| III-2-7 | State of residence   | US  |
| IV-1    | <b>Agent or common representative; or address for correspondence</b>   |   |
|         | The person identified below is hereby/ has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:  | common representative   |
| IV-1-1  | Name   | KONINKLIJKE PHILIPS ELECTRONICS, N.V.   |
| IV-1-2  | Address  | c/o Shannon Lester<br>1109 McKay Drive, M/S-41SJ<br>San Jose, California 95131-1706<br>United States of America |
| IV-1-3  | Telephone No.  | +408 474 9073   |
| IV-1-4  | Facsimile No.  | +408 474 9081   |
| IV-1-5  | e-mail   | shannon.lester@philips.com  |
| V       | <b>DESIGNATIONS</b>  |   |
| V-1     | The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents. |   |
| VI-1    | <b>Priority claim of earlier national application</b>  |   |
| VI-1-1  | Filing date  | 18 December 2003 (18.12.2003)   |
| VI-1-2  | Number   | 60/531,301  |
| VI-1-3  | Country  | US  |
| VII-1   | <b>International Searching Authority Chosen</b>  | European Patent Office (EPO) (ISA/EP)   |

**PCT REQUEST**Original (for **SUBMISSION** )

| <b>VIII</b> | <b>Declarations</b>  | <b>Number of declarations</b> |  |
|-------------|--|-------------------------------|--|
| VIII-1      | Declaration as to the identity of the inventor   | -                             |  |
| VIII-2      | Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent             | 1                             |  |
| VIII-3      | Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application | 1                             |  |
| VIII-4      | Declaration of inventorship (only for the purposes of the designation of the United States of America)                               | -                             |  |
| VIII-5      | Declaration as to non-prejudicial disclosures or exceptions to lack of novelty   | -                             |  |

## PCT REQUEST

Original (for **SUBMISSION** )

|                   |  |  |
|-------------------|--|--|
| VIII-2-1          | <p><b>Declaration: Entitlement to apply for and be granted a patent</b><br/>           Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent (Rules 4.17(ii) and 51bis.1(a)(ii)), in a case where the declaration under Rule 4.17(iv) is not appropriate:<br/>           Name (LAST, First)</p> | <p>in relation to this international application</p> <p>KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled to apply for and be granted a patent by virtue of the following:</p> |
| VIII-2-1(i)<br>i) |  | KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor,<br>EVOY, David  |
| VIII-2-1(i)<br>i) |  | KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor,<br>WOOD, Sam C.   |
| VIII-2-1(i)<br>x) | This declaration is made for the purposes of:  | all designations except the designation of the United States of America  |

## PCT REQUEST

Original (for SUBMISSION )

|                   |  |   |
|-------------------|--|---|
| VIII-3-1          | <p><b>Declaration: Entitlement to claim priority</b><br/>           Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application specified below, where the applicant is not the applicant who filed the earlier application or where the applicant's name has changed since the filing of the earlier application (Rules 4.17(iii) and 51bis.1(a)(iii))</p> <p>Name</p> | <p>in relation to this international application</p> <p>KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled to claim priority of earlier application No. 60/531,301 by virtue of the following:</p> |
| VIII-3-1(i)<br>i) |  | KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor, EVOY, David  |
| VIII-3-1(i)<br>i) |  | KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor, WOOD, Sam C.   |
| VIII-3-1(i)<br>x) | This declaration is made for the purposes of:  | all designations  |

## PCT REQUEST

Original (for SUBMISSION )

|           |  |   |                                    |
|-----------|--|---|------------------------------------|
| <b>IX</b> | <b>Check list</b>  | <b>number of sheets</b>   | <b>electronic file(s) attached</b> |
| IX-1      | Request (including declaration sheets)                     | 6   | ✓                                  |
| IX-2      | Description  | 40  | -                                  |
| IX-3      | Claims   | 3   | -                                  |
| IX-4      | Abstract   | 1   | ✓                                  |
| IX-5      | Drawings   | 4   | -                                  |
| IX-7      | <b>TOTAL</b>   | <b>54</b>   |                                    |
|           | <b>Accompanying Items</b>                                  | <b>paper document(s) attached</b>   | <b>electronic file(s) attached</b> |
| IX-8      | Fee calculation sheet                                      | ✓   | -                                  |
| IX-11     | Copy of general power of attorney                          | reference no.<br>GPA03/0134   | -                                  |
| IX-13     | Priority document(s)                                       | Item(s) VI-1  | -                                  |
| IX-17     | PCT-SAFE physical media                                    | -   | ✓                                  |
| IX-19     | Figure of the drawings which should accompany the abstract | 4a & b  |                                    |
| IX-20     | Language of filing of the international application        | English   |                                    |
| X-1       | Signature of applicant, agent or common representative     |  |                                    |
| X-1-1     | Name (LAST, First)   | KONINKLIJKE PHILIPS ELECTRONICS, N.V.   |                                    |
| X-1-2     | Name of signatory  | SIMONS, Kevin - Agent   |                                    |
| X-1-3     | Capacity   |   |                                    |

## FOR RECEIVING OFFICE USE ONLY

|        |   |        |
|--------|---|--------|
| 10-1   | Date of actual receipt of the purported international application   |        |
| 10-2   | Drawings:   |        |
| 10-2-1 | Received  |        |
| 10-2-2 | Not received  |        |
| 10-3   | Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application |        |
| 10-4   | Date of timely receipt of the required corrections under PCT Article 11(2)  |        |
| 10-5   | International Searching Authority   | ISA/EP |
| 10-6   | Transmittal of search copy delayed until search fee is paid   |        |

## FOR INTERNATIONAL BUREAU USE ONLY

|      |  |  |
|------|--|--|
| 11-1 | Date of receipt of the record copy by the International Bureau |  |
|------|--|--|

**PCT (ANNEX - FEE CALCULATION SHEET)**Original (for **SUBMISSION**)

(This sheet is not part of and does not count as a sheet of the international application)

|  |                                      |  |                     |
|--|--------------------------------------|--|---------------------|
| <b>0</b>   | <b>For receiving Office use only</b> |  |                     |
| 0-1  | International Application No.        |  |                     |
| 0-2  | Date stamp of the receiving Office   |  |                     |
| <b>0-4</b> Form PCT/RO/101 (Annex)<br>PCT Fee Calculation Sheet<br>Prepared Using                          |                                      | <b>PCT-SAFE [EASY mode]</b><br><b>Version 3.50 (Build 0002.163)</b>  |                     |
| <b>0-9</b> Applicant's or agent's file reference   |                                      | <b>PHUS030517WO</b>  |                     |
| <b>2</b> Applicant   |                                      | <b>KONINKLIJKE PHILIPS ELECTRONICS, N.V.</b>                         |                     |
| <b>12</b> Calculation of prescribed fees   |                                      | fee amount/multiplier  | Total amounts (USD) |
| 12-1 Transmittal fee <b>T</b>  |                                      | ⇒  | <b>300</b>          |
| 12-2-1 Search fee <b>S</b>   |                                      | ⇒  | <b>1920</b>         |
| 12-2-2 International search to be carried out by <b>EP</b>   |                                      |  |                     |
| 12-3 International filing fee<br>(first 30 sheets) <b>i1</b>   |                                      |  | <b>1134</b>         |
| 12-4 Remaining sheets <b>24</b>  |                                      |  |                     |
| 12-5 Additional amount <b>(X) 12</b>   |                                      |  |                     |
| 12-6 Total additional amount <b>i2</b>   |                                      |  | <b>288</b>          |
| 12-7 <b>i1 + i2 =</b> <b>i</b>   |                                      |  | <b>1422</b>         |
| 12-12 EASY Filing reduction <b>R</b>   |                                      |  | <b>-81</b>          |
| 12-13 Total International filing fee (i-R) <b>I</b>  |                                      | ⇒  | <b>1341</b>         |
| 12-14 Fee for priority document<br>Number of priority documents requested <b>0</b>                         |                                      |  |                     |
| 12-15 Fee per document <b>(X) 20</b>   |                                      |  |                     |
| 12-16 Total priority document fee: <b>P</b>  |                                      | ⇒  |                     |
| <b>12-17 TOTAL FEES PAYABLE (T+S+i+P)</b>  |                                      | ⇒  | <b>3561</b>         |
| <b>12-19 Mode of payment</b>   |                                      | <b>authorization to charge deposit account</b>                       |                     |
| <b>12-20 Deposit account instructions</b><br>The receiving Office  |                                      | <b>United States Patent and Trademark<br/>Office (USPTO) (RO/US)</b> |                     |
| 12-20-1 Authorization to charge the total fees indicated above   |                                      | ✓  |                     |
| 12-20-2 Authorization to charge any deficiency or credit any overpayment in the total fees indicated above |                                      | ✓  |                     |
| 12-20-3 Authorization to charge the fee for priority document  |                                      | ✓  |                     |
| 12-21 Deposit account No.  |                                      | <b>14-1279</b>   |                     |
| 12-22 Date   |                                      | <b>18 December 2004 (18.12.2004)</b>                                 |                     |
| 12-23 Name and signature   |                                      | <b>SIMONS, Kevin</b><br><i>Kevin Simons</i>                          |                     |